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15 March 2013

Report of the Asian Development Bank to the Twelfth  
Session of the United Nations Permanent Forum on  
Indigenous Issues (UNPFII)

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## Executive Summary

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In line with ADB's overall mandate and strategic objectives, and within the requirements of its 2009 Safeguard Policy Statement, ADB continued to commit to safeguard Indigenous Peoples rights, livelihood systems and cultural uniqueness throughout 2012.

In 2012, ADB approved some new projects in agriculture and natural resources management, education, health, and water supply and municipal services, geared toward poverty reduction and improving the socioeconomic status of beneficiary populations, including Indigenous Peoples. All of the projects were screened and assessed as to their potential impacts on Indigenous Peoples. Where there were potential positive impacts or where negative impacts were unavoidable, the projects proposed culturally-appropriate strategies and measures, in the form of Indigenous Peoples Plans or Planning Frameworks, to mitigate and compensate potential negative impacts and enhance project benefits and accessibility for Indigenous Peoples.

In 2012, ADB also issued a sourcebook, "the Indigenous Peoples Safeguards: A Planning and Implementation Good Practice Sourcebook (Draft Working Document)" which provides further technical guidance and recommends good practice in the implementation of the Safeguard Policy Statement relevant to Indigenous Peoples.

This report highlights some of the key activities in 2012.

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## I. INTRODUCTION

1. This report is prepared in response to the invitation of the United Nations Department of Economic and Social Affairs to submit a summary of action undertaken and planned by the Asian Development Bank regarding Indigenous Peoples' issues. Specifically, the report addresses the recommendations of the previous sessions of the United Nations Permanent Forum on Indigenous Issues for international financial institutions, including the Asian Development Bank, to ensure that development takes into account the full participation, rights and traditional practice of Indigenous Peoples in activities that affect them. Following the Twelfth session theme, the report also focuses on recent initiatives relevant to Indigenous Peoples in the areas of education, health and culture.

## II. 2012 PROJECTS AND ACTIVITIES

### A. 2012 Approved Loans and Grants with Significance to Indigenous Peoples

2. ADB's Safeguard Policy Statement mandates the screening of projects as to their impacts on Indigenous Peoples. Screening starts early in the project concept paper stage which subsequently ensures that projects approved will already be responsive to the procedural and substantive requirements of the policy. Of the 114 loans approved in 2012, a total of 12 projects were deemed to have impacts on Indigenous Peoples. All these 12 projects went through the process of meaningful consultations with affected communities and prepared Indigenous Peoples Plan or Indigenous Peoples Planning Frameworks to specifically avoid or minimize any negative impacts, provide strategic measures to mitigate any potential adverse impacts, and strategize for culturally-appropriate meaningful consultations with affected Indigenous Peoples communities to ensure that the project addresses their needs and priorities.

There was one natural resource management sector project in the Philippines assessed to potentially and significantly impact on Indigenous Peoples. Eleven other projects were noted to impact Indigenous Peoples communities in a limited way. Except for one road rehabilitation project in Bangladesh and one power transmission investment program which were assessed to potentially have limited adverse impacts, mostly due to loss of strip of lands for the projects, the expected impact of projects on Indigenous Peoples communities are primarily positive in nature. These include three education projects for Bangladesh, Cambodia and Viet Nam and one HIV/AIDS project for the Greater Mekong Subregion.

**3. Bangladesh Second Teaching Quality Improvement in Secondary Education Project.** The Project will develop a strengthened, integrated and more inclusive teacher education system toward improved learning outcomes in secondary education. Specifically, the Project includes the following component: (i) strengthened teacher development and institutional and organizational capacity; (ii) enhanced teacher training programs and delivery systems (pre-service, in-service and continuous professional development); (iii) targeted support for inclusive education to increase the proportion of female teachers and support for remedial teaching where student performance is low; and (iv) quality project management for effective implementation and effective monitoring and reporting. The Project will support training of female teachers and teachers in remote areas and from disadvantaged groups, including Indigenous Peoples. It will support more equitable access to teacher training toward the development of students from areas where concentrations of people from small ethnic communities are prominent, including Chittagong Hill Tracts, Sylhet, and Rajshahi. Following the Safeguard Policy Statement requirements, the Project developed an Indigenous Peoples Planning Framework in the form of a Small Ethnic Communities Planning Framework to ensure that the Project process recognizes the community and individual needs of all small indigenous groups and to equally ensure that, if any negative impacts occur, they are quickly identified and mitigation measures are immediately put in place. Under the Small Ethnic Communities

Planning Framework, four main safeguards components are assured in the implementation of the Project: (i) payment for communal lands or customary lands in the Chittagong Hill Tracts or in other districts to customary and legal owners or users of land taken for the Project to build training/resource centers in districts, wherever land is required; (ii) participatory identification of secondary schools by the indigenous community, where remarkable number of students are from indigenous groups, to give preferential selection of teachers for pre and in-service training to enhance the quality of teaching and subsequently enhance the quality and relevance of education for students from indigenous groups; (iii) monitoring the need to provide targeted assistance to the teachers of small indigenous groups, who are more vulnerable than the larger indigenous groups for enhancement/development of their skills; and (iv) raising awareness among government officials working in the areas with outnumbered indigenous population, especially in the Chittagong Hill Tracts and in the central administration in Dhaka on indigenous issues, history, and customs.

4. **Cambodia Third Education Sector Development Program.** The Project involves a program-based approach in coordination with other development partners to meet the objectives of the Cambodia Education Strategic Plan. It supports strengthening of the basic education system (Grades 1–9), in particular the lower secondary subsector (Grades 7–9), through (i) expanded access to lower secondary education, (ii) improved quality of lower secondary education, and (iii) improved subsector management. While the Project coverage is nationwide, the interventions will focus on the Tonle Sap region and in border provinces, which have higher than national average poverty incidence and magnitude, risk and vulnerability, and geographical disparities. The Project builds on previous and current ADB support, such as the ongoing Enhancing Education Quality Project, and complements education projects supported by other development partners. The Project ensures that the revision of school operating budgets and guidelines for their implementation focus on equity dimensions and improve access, achievement, and completion of lower secondary education of the poorest boys and

girls. The Project will pursue a strategy toward increased role of the community to ensure improved school performance and implementing school-based initiatives to ensure long-term school improvements. A number of sites are located in Indigenous Peoples districts and/or communes. Following the requirements for policy-based lending, an Indigenous Peoples Impact Policy Matrix was prepared which identifies the potential areas where impacts are most evident, and it sets out general directions for program interventions to ensure that Indigenous Peoples benefit from the Project.

5. **Viet Nam Second Upper Secondary Education Development Project.** The Project seeks to support the Government of Viet Nam in enhancing access, quality, planning and management of upper secondary education. It specifically aims to address access and equity issues related to children from poor ethnic groups and girl students in 33 disadvantaged provinces with large ethnic populations. In addition, the Project ensures ethnic inclusion and equity issues in all quality upper secondary education, planning and management interventions. The Project prepared an Ethnic Groups Plan, the purpose of which is to outline the potential impacts of the Project on ethnic groups; specify actions to address the impacts, and help improve the distribution of Project benefits to the ethnic groups. Extensive consultations were undertaken with key stakeholders including those agencies and organizations promoting women and ethnic minority development. The consultation meeting with different ethnic groups was an important process for the preparation of the targeted assistance action plan under the Ethnic Groups Plan.

6. **Greater Mekong Subregion Capacity Building for HIV/AIDS Prevention Project.** The Project aims to contribute to achieving and sustaining the Millennium Development Goal to halt and reverse the spread of HIV/AIDS in the Lao People's Democratic Republic and Viet Nam. The Project expects to increase health coverage and quality of health services for targeted populations in 23 border provinces with the following four outputs: (i) strengthened planning and management capacity at national, provincial, and district levels. (ii) enhanced capacity to



provide quality and accessible services to people vulnerable to HIV transmission (iii) improved access to HIV prevention outreach among target populations in communities and cross-border areas; and (iv) effective and sustainable regional collaboration to strengthen HIV response established. Significant proportion of the population in the target provinces in both the Lao People's Democratic Republic and Viet Nam are from ethnic communities, who are among the poorest and most marginalized households. An Ethnic Groups Plan was prepared following the requirements of the Safeguard Policy Statement. The Plan outlines the potential impacts of the Project on the different ethnic groups, specify actions to address the impacts, and help improve the distribution of Project benefits to the ethnic communities. Key features of the Plan include: (i) consultation with ethnic groups on the development of provincial HIV plans, (ii) mapping of risk behaviors of ethnic groups by gender and age, (iii) integrating ethnicity issues and needs into all training and behavioral change communication materials developed for service providers and ethnic populations, (iv) a target of 100% participation of ethnic groups' health staff at all levels in any training provided by the Project, and (v) monitoring of the proportion of ethnic people accessing services relative to the total population of the ethnic community. During Project preparation ethnic communities and their representative were consulted with the use of key informant or focus group discussion techniques guided by semistructured questionnaires administered in both Viet Nam and the Lao People's Democratic Republic. Consultation with ethnic group stakeholders is also ensured to take place regularly throughout Project implementation.

#### **B. Implementation and Monitoring of Ongoing Projects**

7. In 2012, more social safeguards specialists were included in the conduct of project implementation supervision missions. ADB's timely supervision is key factor in helping identify problems and solutions and ensure that compliance to substantial and procedural safeguard requirements, including Indigenous Peoples, are well considered in the implementation of

projects. Among projects actively supervised by the Operations Departments in 2012 are nine health and education sector loan projects, approved between 2006 and 2011, targeted for Indigenous Peoples as part of a larger beneficiary group of people living in poverty. These projects include: the Secondary Education Sector Development Program and the Skills Development Project in Bangladesh; the Education for Knowledge Society Project in Sri Lanka, the Upper Secondary and Professional Teacher Development Project, the Lower Secondary Education for the Most Disadvantaged Regions Project, the Health Care in the South Central Coast Region Project, the Health Human Resources Sector Development Program, and the Skills Enhancement Project in Viet Nam; and the 2<sup>nd</sup> Greater Mekong Subregion Communicable Diseases Control Project implemented in Cambodia, Lao People's Democratic Republic, and Viet Nam.

8. Aside from supervision missions by ADB Operations Departments, ADB's Regional and Sustainable Development Department also conducts safeguard review missions for selected projects. In 2012, the main findings of these missions are that most of the reviewed projects were generally satisfactory and only a few projects/components encountered some procedural and/or substantive issues in terms of the implementation of safeguard plans, including specific actions for Indigenous Peoples. The missions also brought out issues relevant to inadequate awareness and capacity of borrowers and contractors to implement safeguards which suggests the need for capacity development and on-the-job training at the early stage of project implementation.

9. In 2012, a project reviewed in terms of compliance to Indigenous Peoples safeguards was the Jharkhand State Roads Project in India. The Project is being implemented in the new Indian State of Jharkhand. The 311 kilometer Project road traverses through districts within the Santhal Pargana area. Given the Jharkhand State's history and sociopolitical context, it was noted that Project activities, particularly land acquisition and resettlement issues, were implemented with full consideration of the *Gram Sabha* authority and mindful of the cultural

uniqueness of the Project area. The mission found evidence and documentation that consultation and information disclosure took place during project preparation and implementation, and these are available for review by stakeholders. It was noted that information disclosure and consultation were continuing activities to reach out to affected villages and communities and there were some noteworthy strategies, such as setting up of regular camps for information disclosure and complaints receiving and handling. The Mission also noted that Project implementation exhibits some good practices in dealing with social safeguard concerns.

### **C. Capacity Development for staff and DMCs**

10. Following a high demand from stakeholders for further technical guidance, toolkits and showcase of good practice in the implementation of the Safeguard Policy Statement, a sourcebook (Indigenous Peoples Safeguards: A Planning and Implementation Good Practice Sourcebook [Draft Working Document]) was released in 2012. The Sourcebook is for the use of ADB staff and consultants, borrowers/clients and executing agencies, private sector clients, and social safeguards practitioners, including non-government organizations, Indigenous Peoples organizations, and civil society. The Sourcebook will be updated periodically in light of lessons learned from policy application. The Sourcebook is available on the ADB website (<http://www.adb.org/site/safeguards/main>).

11. Capacity development activities for staff at Headquarters and in Resident Missions were continued. Two training sessions were conducted on safeguards at Headquarters in 14 – 16 March 2012, and in 26 – 28 September 2012, attended by 48 project team leaders and analysts, and four specialists and officers from the Korean Eximbank. Project level briefings and training sessions tailored to the specific projects were also undertaken by operations departments and resident missions. In addition, as part of its objective to promote experiential sharing of lessons

from projects, ADB's social safeguard network held a brown bag seminar in 12 August 2012 on strengthening the monitoring and evaluation system to capture Indigenous Peoples safeguards deriving lessons from the implementation of the *Lao PDR Northern Region Sustainable Livelihoods through Livestock Development Project*. Demand from the borrowers for safeguard training and capacity building for both project preparation and implementation is high based on ADB's implementation experience to date.

12. As another important component of staff capacity development, ADB played a core role in promoting joint training and knowledge sharing among bilateral and multilateral agencies. In early 2012, a joint regional Community of Practice on safeguards among ADB, Australian Agency for International Development, Japan International Cooperation Agency, and the World Bank was established. Since then, much progress was made, including a joint staff training/retreat session held in Manila in May 2012 with participation from 33 ADB staff and 71 staff from the other three organizations.

13. ADB is building on existing programs to develop and roll out a more comprehensive and coherent safeguards training strategy. The strategy will bring together ADB's current training program and a new menu of medium-term and long-term programs for specific targeted groups including in countries' executing agencies and project implementation staff, civil society partners, private sector clients, and consultants. ADB's is partnering with the joint ADB, AusAID, JICA and World Bank Community of Practice in developing and delivering the training strategy.

### III. RESPONSE TO UNFP II RECOMMENDATION AT THE ELEVENTH SESSION

14. The eleventh session did not refer any recommendations specifically for the Asian Development Bank. In response to the invitation as indicated in paragraph 119 of the report, the Asian Development Bank conveys its appreciation and acceptance of the Forum's invitation to

participate in the half-day in-depth session to review the development and adoption of comprehensive Indigenous Peoples' policies and mechanisms for the effective engagement and participation of Indigenous Peoples, consistent with the Declaration.

15. Environmental and social safeguards are a cornerstone of ADB's support to inclusive economic growth and environmentally sustainable growth. ADB commits to avoid, minimize, mitigate, and compensate for the adverse social and environmental impacts through well-designed and appropriately implemented environmental management, resettlement and Indigenous Peoples plans, and believes that safeguard issues should be seen as an integral part of the development process.

16. ADB's internal focus for the next two years (2013-2014) will continue to be on the implementation of the Safeguard Policy Statement, through (i) due diligence and review for project preparation; (ii) safeguard supervision and review for projects under implementation; (iii) maintaining and improving the internal management system for review, monitoring and reporting as well as continued staff capacity development, and (iv) developing and maintaining the tools (such as guidelines and e-learning courses) to assist the implementation. ADB will also continue its external outreach and engagement through (i) training and capacity development of borrowers/clients at sector and project levels; and (ii) policy dialogue and technical assistance program on country safeguard systems strengthening in partnership with other multilateral financial institutions and bilateral development agencies.

#### IV. FOCAL POINT FOR INDIGENOUS PEOPLES SAFEGUARDS

17. The focal point for Indigenous Peoples issues is the Director General of the Regional and Sustainable Development Department with the support of the Environment and Social Safeguards Division. Concerns and communications on Indigenous Peoples issues may be directed to:

Mr. Nessim Ahmad

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18. Any comments or further request for details relevant to this report may be directly addressed to:

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More information may also be accessed from the Asian Development website on safeguards:

<http://www.adb.org/safeguards>.